

Archived Information

Mentoring Programs

FY 2004 Information and Application Procedures

Application Deadline: July 7, 2004

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Frequently Asked Questions - Page 48

Office of Safe and Drug- Free Schools

<http://www.ed.gov/about/offices/list/osdfs/index.html>

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General Information

Eligibility

Eligible applicants under this grant competition are: (1) local educational agencies (LEAs); (2) nonprofit, community-based organizations (CBOs), which may include faith-based organizations; and (3) a partnership between an LEA and a CBO.

Project Period

Projects will be funded for up to 36 months, contingent upon the demonstration of substantial progress each year toward meeting project goals and objectives, and the availability of future appropriations. Applicants requesting funding for more than one year must submit with the original application ED Form 524 and a detailed budget narrative for each project year.

Estimated Range of Awards

Under this program, an estimated 195 awards will be made ranging from \$100,000 to \$200,000 per project year.

We will take into consideration the geographic distribution of grants, including urban and rural areas, in addition to the rank order of applicants. To the extent practicable, we will select not less than one grant recipient from each State for which there is an eligible entity that submits an application of sufficient quality. Contingent upon the availability of funds, we may make additional awards in Fiscal Year (FY) 2005 from the rank-ordered list of unfunded applications from this competition.

Please note that the Department of Education is not bound by any estimates contained in this application package.

Application Due Date

All applications delivered by the U.S. Postal Service must be postmarked on or before July 7, 2004. Applications delivered by hand or courier (e.g. Federal Express) must be received by the U.S. Department of Education Application Control Center no later than 4:30 PM (Washington, DC time) on July 7, 2004.

Under very extraordinary circumstances the Department may change the closing date for a competition. When this occurs, the Secretary announces such a change in a notice published in the *Federal Register*. Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in e-Application.

Prohibited Uses of Funds

Grant funds may not be used to (1) directly compensate mentors; (2) obtain educational or other materials or equipment that would otherwise be used in the ordinary course of the grantee's operations; or (3) support litigation of any kind.

Definitions

1. The term "child with greatest need" means a child who is at risk of educational failure, dropping out of school, or involvement in criminal or delinquent activities, or who lacks strong positive role models.
2. The term "community-based organization" means a public or private nonprofit organization of demonstrated effectiveness that is representative of a community or significant segments of a community and provides educational or related services to individuals in the community.
3. The term "core academic subjects" means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.
4. The term "mentor" means a responsible adult, a postsecondary school student, or a secondary school student who works with a child to (a) provide a positive role model for the child; (b) establish a supportive relationship with the child; and (c) provide the child with academic assistance and exposure to new experiences and examples of opportunity that enhance the ability of the child to become a responsible adult.
5. The term "non-profit" refers to a school, agency, organization, or institution owned and operated by one or more nonprofit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.
6. The term "school-based mentoring" means mentoring activities that are closely coordinated with schools, including the involvement of teachers, counselors, and other school staff in the identification and referral of students, and that are focused on improved academic achievement, reduced student referrals for disciplinary reasons, increased bonding to school, and positive youth development.

Applicable Regulations

The following Education Department General Administrative Regulations (EDGAR) apply to the grant competition described in this package: 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99 and 299. (Note: The regulation in 34 CFR Part 86 applies to institutions of higher education only).

Program Authority

The Mentoring Programs grant competition is authorized under Title IV, Part A, Subpart 2, Section 4130 of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the No Child Left Behind Act of 2001. The official document governing this grant competition is the notice of final priorities, requirements, and selection criteria published in the *Federal Register* on May 28, 2004. This notice is available on the Internet at the following address: <http://www.ed.gov/news/fedregister/index.html>.

Technical Assistance Meetings

All applicants must budget for annual attendance for by the project director and one other staff person at an annual grantee meeting (two days) and the Office of Safe and Drug-Free Schools National Conference (three days). These meetings will usually be held in Washington, D.C. Grant funds may be used to pay for all costs associated with attendance at these meetings including transportation, hotel, and per diem.

Grantees will receive technical assistance throughout the grant period. It is anticipated that this assistance will take multiple forms, including meetings, networking, workshops, and online and printed resources. Technical assistance will cover elements related to effective practice, including proper screening of prospective mentors, training, and planning and implementing a rigorous evaluation. Applicants should also budget for travel expenses for appropriate staff to attend a three-day technical assistance meeting within the first month following award of the grant, and meetings every four months thereafter (i.e., three technical assistance meetings per year).

DUNS Number

All grant recipients must have a DUNS Number, a unique nine-digit identification code provided by Dun & Bradstreet (D&B). If you do not currently have a DUNS Number, you can obtain one at no charge by calling the D&B Federal Government DUNS Number request line at 1-866-705-5711, or by visiting the following website on the Internet: <https://eupdate.dnb.com/requestoptions/government/ccrreg>. **Please note that a grant award cannot be made if you do not have a DUNS number.**

Indirect Costs

In order to charge indirect costs to your grant, you must have an Indirect Cost Rate Agreement, which stipulates the indirect cost rates an organization can use to claim indirect costs under Federal programs. If you do not have a negotiated rate, you may contact the Department's Indirect Cost Group, which establishes and approves indirect cost rates and may assign you a provisional rate while your request is being processed. For further information, please contact Katrina McDonald at katrina.mcdonald@ed.gov, or visit <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Helpful Tips for Applicants

1. Before you begin

- Read this application package carefully and make sure you follow all of the instructions.
- Read the Frequently Asked Questions section in this application package.
- If there is information that you do not understand, please contact the program officers for this program.
- For more resources, please visit the OSDFS web page at <http://www.ed.gov/programs/dvpmentoring/resources.html>.

2. Preparing your application

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

3. Submitting your Application

- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt. If you use e-applications, follow the instructions on the e-Application web site. Because unanticipated problems can occur, we encourage you not to wait until the last minute to submit your application.

4. Next Steps

- Depending on the volume of applications we receive, within 15 days you should receive a postcard from the Department of Education Application Control Center acknowledging receipt of your application and giving you its assigned number. Please refer to this number if you need to contact the Department about your application.

- Office of Safe and Drug-Free Schools (OSDFS) staff screens each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be evaluated by a three-person panel of independent reviewers and will receive a score from 0 to 105 depending upon how well it addresses the selection criteria and other requirements and whether it meets the competitive preference priority.
- A grant award document will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive copies of the peer review comments. Peer review comments will be sent to the authorized representative identified on ED Form 424 and will not be sent to personal post office boxes or home addresses.

Local Evaluation

A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and outcome measures, including the Government Performance and Results Act (GPRA) performance measures. More specifically, the plan should identify the individual and/or organization that has agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

Successful applicants will be expected to report annually on the progress of the funded project, including progress toward meeting the performance measures established for this competition.

Characteristics of Strong Evaluation Plans

- Designed and implemented in a manner that is consistent with the goals, objectives, and performance indicators of the proposed Mentoring Program grant.
- Provide needed levels of autonomy and independence to collect, analyze, and report on data.
- Include both process and outcome measures that:
 - Describe how the program was implemented and whether goals and objectives were met.
 - Show if and to what extent the mentoring program is producing its intended effects with the student population served.
- Provide data that can be used to make adjustments in service delivery and improve the program.

- Provide for the evaluator to serve in an advisory capacity to program staff and assist with planning, implementation, and sustainability activities.
- Allow for the accurate and timely collection of Government Performance and Results Act data.

Government Performance and Results Act

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the U.S. Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1:** Create a culture of achievement;
- Goal 2:** Improve student achievement;
- Goal 3:** Develop safe schools and strong character;
- Goal 4:** Transform education into an evidence-based field;
- Goal 5:** Enhance the quality and access to postsecondary and adult education; and
- Goal 6:** Establish management excellence.

The Secretary has established the following key performance measures for assessing the effectiveness of the Mentoring Programs grant program:

(1) The percentage of student/mentor matches that are sustained for a period of twelve months will increase by:

- 0% by 2005;
- 25% by 2006;
- 50% by 2007;

(2) The percentage of mentored students who demonstrate improvement in core academic subjects as measured by grade point average after 12 months will increase:

- 5% by 2005;
- 15% by 2006;
- 30% by 2007;

(3) The percentage of mentored students who have unexcused absences from school will decrease:

- 10% by 2005
- 30% by 2006

- 40% by 2007

These three measures constitute the Department's indicators of success for this program. Consequently, applicants for a grant under this program are advised to give careful consideration to these three outcomes in conceptualizing the design, implementation, and evaluation of their proposed project. Grantees are required to collect and report data to the Department about progress toward these measures. The Secretary will also use this information to respond to reporting requirements concerning this program established in Section 5421 (f) of the ESEA.

Please note that each applicant must provide an assurance that it will: 1) establish clear, measurable performance goals; 2) collect and report to the Department data related to the established GPRA performance indicators for the Mentoring Programs grant competition. We will reject any application that does not contain these assurances.

Grantees funded under this program will also be required to participate in any national evaluation of the Mentoring Program that the Secretary may require, the design of which may include random assignment.

Application Requirements

Statutory Requirements

To be eligible for funding, an applicant must propose school-based mentoring programs and activities to serve children with the greatest need in the 4th through 8th grades living in rural areas, high-crime areas, or troubled home environments, or who attend schools with violence problems. Projects funded under this program must:

1. Link children with mentors who —

- (i) Have received training and support in mentoring;
- (ii) Have been screened using appropriate reference checks, child and domestic abuse record checks, and criminal background checks; and
- (iii) Are interested in working with children with greatest need;

2. Be designed to achieve one or more of the following goals with respect to children with greatest need:

- (i) Provide general guidance;
- (ii) Promote personal and social responsibility;
- (iii) Increase participation in, and enhance the ability to benefit from, elementary and secondary education;
- (iv) Discourage illegal use of drugs and alcohol, violence, use of dangerous weapons, promiscuous behavior, and other criminal, harmful, or potentially harmful activity;
- (v) Encourage participation in community service and community activities;
- (vi) Encourage the setting of goals and planning for the future, including encouragement of graduation from secondary school and planning for postsecondary education or training;
- (vii) Discourage involvement in gangs.

Grant funds must be used for activities that establish or implement a mentoring program, which may include:

- Hiring of mentoring coordinators and support staff;
- Providing for the professional development of mentoring coordinators and support staff;
- Recruitment, screening, and training of mentors;
- Reimbursement to schools, if appropriate, for the use of school materials or supplies in carrying out the mentoring program;
- Dissemination of outreach materials; and
- Evaluation of the mentoring program using scientifically based methods.

Application Requirements

This application package contains all of the information, forms, and instructions needed to apply for this grant. Applications must include the following:

Assurances

In addition to the standard assurances included with this application package, applicants must also provide the following assurances. We have included in Appendix C of this application package specific assurance forms for LEAs and CBOs. If you are a LEA, please use the assurance form for LEAs. If you are a CBO, please use the assurance form for CBOs. **You must submit the appropriate program specific assurance form for your organization.**

1. An assurance that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor's ability to be an effective mentor or the mentor's ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
2. An assurance that the mentoring program will provide children with a variety of experiences and support, including:
 - (i) Emotional support;
 - (ii) Academic assistance; and
 - (iii) Exposure to experiences that the children might not otherwise encounter on their own;
3. An assurance that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child;

Eligibility Requirements for All Applicants

To be eligible for funding, an applicant must include in its application an assurance that it will:

1. Establish clear, measurable performance goals;
2. Collect and report to the Department data related to the established GPRA performance indicators for the Mentoring Programs grant competition;

We will reject any application that does not contain these assurances.

Application Requirements for CBOs

To be eligible for funding, each CBO must include in its application an assurance that:

- a. It is an eligible applicant under the definitions provided in the *Federal Register* notice and in this application package;
- b. Timely and meaningful consultation with a LEA or private school has taken place during the design and/or development of the proposed program;
- c. LEA or private school staff will participate in the identification and referral of students to the CBO's proposed program; and
- d. The LEA or private school will participate in the collection of data related to the established GPRA performance indicators for the Mentoring Programs grant competition.

Other Requirements

1. Information on the children expected to be served by the mentoring program, including the number of youth to be served and the magnitude of the need for services;
2. A description of the system that will be used to match children with mentors, based on the needs of the children;
3. Information regarding how mentors and children will be recruited to the mentoring program;
4. Information regarding how prospective mentors will be screened, including:
 - Reference checks;
 - Child and domestic abuse records and other criminal background checks;
5. Information on the training that will be provided to mentors; and
6. Information on the system that will be used to manage program operations, including administration and ongoing support, supervision and monitoring of mentoring relationships.

Screening of Prospective Volunteers

It is critical that all prospective mentor volunteers who will have contact with youth be appropriately screened. Careful screening helps to ensure the safety of youth involved in the program and improves the overall quality of the program. Each proposed project must have a written screening policy that will be carefully implemented and consistently applied

to all mentors. Unless otherwise prohibited by statute or regulation, the program should determine, on a case-by-case basis, whether background information obtained from the screening should bar an individual from being a mentor. An applicant may be disqualified to protect youth from possible physical, emotional, psychological, or sexual abuse. Failure by the proposed mentor to provide requested information should result in automatic disqualification.

Under this program, a minimally acceptable screening policy must use appropriate reference checks, child and domestic abuse record checks, and criminal background checks. The results of the criminal history records check should be documented and kept on file at the project site. This information should be available in written form for each mentor prior to any unsupervised contact with youth. The screening policy should also include the criteria for dismissing mentors.

For further guidance on establishing policies for screening mentors, please see the U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention's *Guidelines for the Screening of Persons Working With Children, the Elderly, and Individuals With Disabilities in Need of Support* (Davis et al., 1998). Excerpts from this document are available in Appendix A of this application package. The full document is available by contacting the Juvenile Justice Clearinghouse at 1-800-638-8736 or by visiting <http://www.ojjdp.ncjrs.org>.

SafetyNET Pilot Screening Program

In March 2003, Congress passed the PROTECT Act, which includes a pilot program for conducting criminal background checks. Through this pilot program, local mentoring programs across the country will be able to access Federal Bureau of Investigation (FBI) fingerprint-based background checks on new mentoring volunteers. For many organizations, this pilot will enable them to access criminal records outside of their own state for the first time.

The pilot for mentoring organizations – called SafetyNET – was launched on August 15, 2003, and will last for 18 months, or until all of the 33,333 mentoring background checks have been performed. During this time, mentoring organizations in 47 states and the District of Columbia will be able to submit their background checks through the National Mentoring Partnership for a flat fee of \$18 per volunteer. In Montana, Tennessee, and Virginia, however, organizations must apply to the National Mentoring Partnership for approval to participate in the pilot, but will then be able to conduct background checks according to procedures established by their state.

Because each state has a different system for obtaining criminal background checks, SafetyNET may not be right for every mentoring organization. Programs in some states may find that they have a better or less expensive system in place for conducting FBI criminal record checks. In addition, some states may have specific laws or regulations requiring mentoring organizations to perform such background checks in a certain way. Each mentoring program will need to assess its state's current procedures and decide whether or not to take part in the pilot program.

Please visit <http://www.mentoring.org/safetynet>, or contact the National Mentoring Partnership at (703) 224-2200 for more information.

General Education Provisions Act Section 427

Section 427 of the General Education Provisions Act affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their application to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address; gender, race, national origin, color, disability, or age. Based on local circumstances, applicants can determine whether these or other barriers may prevent students, teachers, or others from equitable access or participation. The description need not be lengthy; applicants may provide a clear and succinct description of how they plan to address those barriers that are applicable to their circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

SPECIAL NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain the steps they will take to overcome these barriers.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use Federal funds awarded to it to eliminate barriers it identifies.

Examples

The following examples help illustrate how an applicant may comply with Section 427:

1. An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language;

2. An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind;
3. An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it tends to conduct “outreach” efforts to girls, to encourage their enrollment.

Equitable Participation by Private School Children and Teachers

LEAs are required to provide for the equitable participation of private school children, their teachers, and other educational personnel in private schools located in areas served by the grant recipient.

In order to ensure that grant program activities address the needs of private school children, the LEA must engage in timely and meaningful consultation with private school officials during the design and development of the program. This consultation must take place before any decision is made that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate.

In order to ensure equitable participation of private school children, teachers, and other educational personnel, the LEA must consult with private school officials on issues such as: how children's needs will be identified; what services will be offered; how and where the services will be provided; who will provide the services; how the services will be assessed and how the results of assessment will be used to improve those services; the amount of funds available for services; the size and scope of the services to be provided; how and when decisions about the delivery of services will be made; and the provision of contract services through potential third-party providers.

See Section 9501 of the Elementary and Secondary Education Act of 1965, as reauthorized by the No Child Left Behind Act of 2001.

Maintenance of Effort

An LEA may receive a grant under the Mentoring Programs grant competition only if the State educational agency finds that the combined fiscal effort per student or the aggregate expenditures of the agency and the State with respect to the provision of free public education by the agency for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year.

Background

Overview

Mentoring is a structured, sustained, developmental relationship between a young person and a caring individual, with the goal of offering support, building character, and promoting healthy youth development. By being a positive role model, a mentor can help motivate a child to learn and achieve.

There is encouraging evidence that such positive relationships can provide several benefits for youth and have great influence on their lives. In a 1995 study of mentoring, Public/Private Ventures (P/PV) conducted an experimental evaluation of eight mentoring programs. The study considered six areas that mentoring might affect -- social activities, academic performance, attitudes and behavior, relationships with others, self-concept and social/cultural enrichment. P/PV found that mentored youth were less likely to engage in violence and drug use and more likely to attend school. Students with mentors also reported greater confidence in their ability to perform academically and healthier social relationships (Tierney and Grossman, 1995).

School-based mentoring is among the most popular and promising of these approaches. School-based programs are typically coordinated in close consultation with schools, with administrators, teachers, counselors, and other school staff assisting in the identification and selection of participants.

This school-based approach has several benefits. First and foremost, it can help foster academic improvement by linking the mentor to the school setting and making education an important component of the mentoring relationship. Teachers and other school staff can also assist with program oversight and supervision. In addition, as school personnel instead of parents or guardians refer youth, these programs can reach a ready population of youth who may be experiencing difficulties at home and whose parents are not able to involve them in mentoring.

Because school-based programs often require a less time-intensive commitment than most community-based programs, school-based programs can recruit not only the typical volunteer, but also people who may not have as much free time as those making a traditional mentoring commitment.

This grant program is designed to assist local educational agencies and nonprofit, community-based organizations, including faith-based organizations, to promote school-based mentoring programs for children with greatest need in the 4th through 8th grades that: (1) assist these children in receiving support and guidance from a mentor; (2) improve the academic performance of such children; (3) improve interpersonal relationships between the children and their peers, teachers, other adults, and family members; (4) reduce the dropout rate of such children; and (5) reduce juvenile delinquency and involvement in gangs.

Characteristics of Effective Mentoring Programs

As with any prevention strategy, mentoring is most effective when programs are based on proven strategies. At a minimum, a well-designed mentoring program should provide the following:

- Clear, measurable performance goals and objectives;
- Identification of the youth to be served in the program and who will be recruited as mentors;
- Expectations for the frequency of contact and terms of the relationship between mentors and youth, and established criteria for matches;
- Screening for all volunteers, including at a minimum reference checks, criminal records checks, and other checks as appropriate (e.g. interviews, employment records, character references);
- Ongoing training and support for mentors and staff;
- Structured activities for mentors and youth;
- Established policies and procedures for the management of all program operations, including administration, supervision, and monitoring of mentoring relationships;
- A determination of what data will be collected in the program, and an evaluation design that will determine its effectiveness.

Priorities and Selection Criteria

Absolute Priority

This priority supports projects that address the academic and social needs of children with the greatest need through school-based mentoring programs and activities and provide these students with mentors. These programs and activities must serve children with the greatest need in one or more grades 4 through 8 living in rural areas, high-crime areas, or troubled home environments, or who attend schools with violence problems.

For FY 2004 this priority is an absolute priority. Under 34 CFR 75.105 (c)(3) we consider only applications that meet this absolute priority.

Competitive Preference Priority

We will award five additional points to a consortium of eligible applicants that includes either:

- (a) at least one local educational agency (LEA) and at least one community-based organization (CBO) that is not a school and that provides services to youth and families in the community; or
- (b) at least one private school that qualifies as a nonprofit CBO and at least one other CBO that is not a school, and that provides services to youth and families in the community.

The consortium must designate one member of the group to apply for the grant, unless the consortium is itself eligible as a partnership between a LEA and a nonprofit CBO. To receive this competitive preference, the applicant must clearly identify the agencies that comprise the consortium and must include a detailed plan of their working relationship and of the activities that each member will perform, including a project budget that reflects the contractual disbursements to the members of the consortium. For the purpose of this priority, a "consortium" means a group application in accordance with the provisions of 34 CFR 75.127 through 75.129.

The consortium must be comprised of eligible parties (LEAs and nonprofit CBOs), and the partnership agreement must be included in your application to receive the competitive preference points.

Selection Criteria

The following selection criteria will be used to evaluate applications under this competition. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses. The maximum total of points an application may earn is 105 (including the five point competitive preference priority).

1. Need for the Project (10 points)

In determining the need for the proposed project, the following factor is considered:

The magnitude and severity of problems that will be addressed by the project, including the number of youth to be served who: (i) are at risk of educational failure or dropping out of school, (ii) are involved in criminal, delinquent, or gang activities, or (iii) lack strong, positive role models. (10 points)

2. Quality of the Project Design (30 points)

In determining the quality of the design of the proposed project, the following factors are considered:

(a) The degree to which the applicant proposes a high-quality mentoring project that provides for, but is not limited to: (1) a low student-to-mentor ratio (one-to-one, where practicable), (2) frequent contacts between mentors and the children they mentor; and (3) mentoring relationships of 12 months or more duration. (10 points)

(b) The quality of mentoring services that will be provided, including the quality of services designed to improve academic achievement in core academic subjects, strengthen school bonding (i.e., positive commitment and attachment to school), and promote pro-social norms and behaviors, and the resources, if any, that the eligible entity will dedicate to providing children with opportunities for job training or postsecondary education. (5 points)

(c) The capability of each eligible entity to implement its mentoring program effectively, and the degree to which parents, teachers, community-based organizations, and the local community have participated, or will participate, in the design and implementation of the proposed mentoring project. (5 points)

(d) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, including new research, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives. (10 points)

3. Quality of the Management Plan (35 points)

In determining the quality of the management plan, the following factors are considered:

(a) The quality of the system that will be used to manage and monitor mentor reference

checks, including, at a minimum, child and domestic abuse record checks and criminal background checks. (10 points)

(b) The quality of the training that will be provided to mentors, including orientation, follow-up, and support of each match between mentor and child. (10 points)

(c) The quality of the applicant's plan to recruit and retain mentors, including outreach, criteria for recruiting mentors, terminating unsuccessful matches, and replacing mentors, if necessary. (5 points)

(d) The extent to which the applicant provides a comprehensive plan to match mentors with students, based on the needs of the children, including criteria for matches, and the extent to which teachers, counselors, and other school staff are involved. (5 points)

(e) The extent to which the applicant demonstrates the ability to carefully monitor and support the mentoring matches, including terminating matches when necessary and reassigning students to new mentors, and the degree to which the mentoring program will continue to serve children from the 9th grade through graduation from secondary school, as needed. (5 points)

4. Quality of Project Personnel (10 points)

In determining the quality of project personnel, the Secretary considers:

The qualifications and relevant training of key staff, including time commitments, and experience in mentoring services and case management. (10 points)

5. Quality of the Project Evaluation (15 points)

In determining the quality of the project evaluation, the following factors are considered:

(a) The extent to which the methods of evaluation will provide performance feedback to the Department, grantees, and mentors, and permit periodic assessment of progress toward achieving intended outcomes, including the GPRA performance measures for the Mentoring Program grant competition. (5 points)

(b) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data on the GPRA performance measures for the Mentoring Program grant competition. (10 points)

Application Format and Submission

Application Format

Unless you plan to submit electronically, applicants are required to submit one original application (with all signatures signed in black ink) and two copies (unbound). In addition, applicants are requested, but not required, to submit one additional copy for a total of four. All pages should have printing on only one side and must be numbered, including any appendices. Do not attach anything to the application that cannot be photocopied using an automatic process, e.g. anything stapled, folded, pasted, or in a size other than 8 1/2 x 11 inches on white paper.

A complete application comprises the following items in the order specified:

1. **ED Form 424.** ED Form 424 must be completed in accordance with the instructions provided.
2. **Project Abstract.** The project abstract should be limited to 200 words, providing an overview of the proposed project, **including the number of students to be served**. The applicant's name (as shown in item 1 of ED Form 424) and title (as shown in item 13 of the same form) should be clearly marked.
3. **Table of Contents.** The table of contents should identify the page number for each of the major sections of the application, in addition to any appendices.
4. **ED Form 524 and Budget Narrative.** Please follow the instructions contained in ED Form 524 for completing the budget. Please note that the appropriate column on Form 524 must be completed for each year that funds are requested (up to 3 years). Failure to supply a budget and a narrative for each project year will result in no funding for those years.

A detailed budget narrative is also required to explain the information provided in ED Form 524. Using the same budget categories provided on ED Form 524, the narrative should provide sufficient detail for reviewers to easily understand how project costs for each year were determined. Please explain the basis used to calculate indirect cost rates, including evidence of a negotiated indirect cost rate, as well as certain costs for travel, supplies, and contractual, or any other costs that may appear unusual.

All applicants must budget for annual attendance for by the project director and one other staff person at the annual 3-day Office of Safe and Drug-Free Schools National Conference, and any other training the Secretary may require. For planning purposes applicants may assume one person attending three training sessions each year. All meetings will take place in Washington, DC.

5. **Application Narrative.** Describe your proposed project in detail with particular attention to all selection criteria and statutory requirements, and provide a

description of all aspects of the project. The program narrative section should not exceed 25 double-spaced pages using a standard font no smaller than 12-pt, with 1-inch margins (top, bottom, left, and right). The narrative should be succinct and well organized, following the format and sequence of the selection criteria. If you fail to address all the selection criteria, including each weighted sub-element, our experience suggests your application will not score well enough to be funded.

6. **Program Specific Assurances.** Please see “Assurances.”
7. **Assurances, Certifications, and Disclosure.** These forms must be reviewed and signed by the individual identified in item 15 (a) of ED Form 424. Failure to submit the signed assurances, certifications, and disclosure will delay any possible award. The following assurances, certifications, and disclosure forms are included in this application package:
 - **Standard Form 424B** - Assurances – Non-Construction Programs;
 - **ED Form 80-0013** - Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements;
 - **ED Form 80-0014** - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions;
 - **Standard Form LLL** - Disclosure of Lobbying Activities (*note: this form is not required if there are no lobbying activities to disclose*).
8. **GEPA 427 Statement.** Please see “Application Requirements.”

Application Submission Guidelines

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesdays for maintenance (Washington, DC time). Any modifications to these hours are

posted on the e-Grants web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

Applications Sent by Mail

You must mail the original and two copies of the application on or before the deadline date to.

U.S. Department of Education
Application Control Center
Attention: CFDA #84.184B
Washington, DC 20202

To help expedite our review of your application, we would appreciate your voluntarily including one additional copy of your application.

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions for “Applications Delivered by Hand.”

Applications Delivered by Hand

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date to:

U.S. Department of Education
Application Control Center
Attention: CFDA #84.184B
550 12th Street, SW, PCP - Room 7067
Washington, DC 20202

To help expedite our review of your application, we would appreciate your voluntarily including one additional copy of your application.

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays.

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 5 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

If your application is late, we will notify you that we will not consider the application.

Pilot Project for Electronic Submission of Applications

The U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. Mentoring Programs is one of the programs included in the pilot project and applicants under this grant competition may submit applications in either electronic or paper format.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administration and Payment System (GAPS). We request your participation in this pilot project. We will continue to evaluate its success and solicit suggestions for improvement.

If you participate in this e-APPLICATION pilot, please note the following:

- Your participation is voluntary;
- You will not receive any additional point value or penalty because you submit a grant application in electronic or paper format;
- You can submit all documents electronically, including the Application for Federal Assistance (ED 424), Budget Information – Non-Construction Programs, (ED 524), and all necessary assurances and certifications;
- Within three working days of submitting your electronic application, fax a signed copy of the Application for Federal Assistance (ED 424) to the Application Control Center after following these steps:
 1. Print ED 424 from the e-APPLICATION system;
 2. Make sure that the institution's Authorized Representative signs this form;
 3. Before faxing this form, submit your electronic application via the e-APPLICATION system. You will receive an automatic acknowledgement,

which will include a PR/Award number (an identifying number unique to your application);

4. Place the PR/Award number in the upper right corner of the ED 424;
5. Fax ED 424 to the Application Control Center at (202) 245-6272;

- We may request that you give us original signatures on all other forms at a later date.

For the electronic grant application for Mentoring Programs and more information on e-APPLICATION, please visit the following address on the Internet: <http://e-grants.ed.gov>.

Electronic Submission

Grant applications submitted through the Internet using the software provided on the e-Grants web site (<http://e-grants.ed.gov>) must be transmitted by 4:30 PM (Washington, DC time) on the deadline date.

The regular hours of operation of the e-Grants web site are 6:00 AM until 12:00 AM (Washington, DC time) Monday through Friday and 6:00 AM until 7:00 PM (Washington, DC time) on Saturday. The system is not available on the second Saturday of every month, Sundays, and Federal holidays. Please note that on Wednesdays the web site is closed for maintenance at 7:00 PM (Washington, DC time).

Note: Applications may only be submitted electronically via the e-APPLICATION system. Applications sent via electronic mail will not be accepted.

Parity Guidelines Between Paper and Electronic Applications

In an effort to ensure parity and a similar look between applications transmitted electronically and applications submitted in conventional paper form, e-APPLICATION has an impact on all applications under this competition.

Users of e-APPLICATION, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of a grant application to us. If you participate in this voluntary pilot project by submitting an application electronically, the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

This pilot project is another step in the Department's transition to an electronic grant award process. In addition to e-APPLICATION, the Department is conducting a limited pilot of electronic peer review (e-READER) and electronic annual performance reporting (e-REPORTS). To help ensure parity and a similar look between electronic and paper copies of grant applications, each applicant that submits a paper application should adhere to the following guidelines:

- Submit your application on 8½" by 11" paper;
- Leave a one-inch margin on all sides;

- Use consistent font throughout your document. You also may use boldface type, underlining, and italics, however please do not use colored text;
- Please also use black and white for illustrations, including charts, tables, graphs, and pictures;
- For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation;
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document.

Paperwork Reduction Act

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the information collection is OMB #1865-0013. The time required to complete the information collection is estimated to average 20 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Room 3E316, Washington, DC 20202-6450.

Other Information

Intergovernmental Review of Federal Programs

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive order. The name and address of each State Single Point of Contact is listed below. **A copy of the applicant's letter to the State Single Point of Contact must be included with the application.**

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be received by August 5, 2004, at the following address: The Secretary, EO 12372 – CFDA #84.184B, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 PM (Washington, DC time) on August 5, 2004. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to the awarding Federal agency.

State Single Points of Contact

ARKANSAS

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 W. 7th St., Room 412
Little Rock, Arkansas 72203
Telephone: (501) 682-1074
Fax: (501) 682-5206
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CALIFORNIA

Grants Coordination
State Clearinghouse
Office of Planning and Research
P.O. Box 3044, Room 222
Sacramento, California 95812-3044
Telephone: (916) 445-0613
Fax: (916) 323-3018
state.clearinghouse@opr.ca.gov

DELAWARE

Sandra R. Stump
Executive Department
Office of the Budget
540 S. Dupont Highway, 3rd Floor
Dover, Delaware 19901
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sandy.stump@state.de.us

DISTRICT OF COLUMBIA

Luisa Montero-Diaz
Office of Partnerships and Grants Development
Executive Office of the Mayor
District of Columbia Government
441 4th Street, NW, Suite 530 South
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Florida Dept. of Environmental Protection
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Fax: (850) 245-2190
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GEORGIA

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270 Washington Street, SW
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ILLINOIS

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Iowa Department of Economic Development
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MAINE**KENTUCKY**

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MARYLAND

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MISSISSIPPI

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209 E. Musser Street, Room 200
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NEW MEXICO

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Santa Fe, New Mexico 87503
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MICHIGAN

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MISSOURI

Angela Boessen
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Truman Building, Room 840
Jefferson City, Missouri 65102
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igr@mail.oa.state.mo.us

NEW HAMPSHIRE

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NEW YORK

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SOUTH CAROLINA

SC Clearinghouse
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AMERICAN SAMOA

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GUAM

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PUERTO RICO

Jose Caballero / Mayra Silva
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
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San Juan, Puerto Rico 00940-1119
Telephone: (787) 723-6190
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Grant and Contract Funding Information

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Home Page	http://www.ed.gov
OCFO Home Page	http://www.ed.gov/about/offices/list/ocfo/index.html

Authorizing Legislation

Sec. 4130 -- Mentoring Programs

(a) PURPOSE; DEFINITIONS-

(1) PURPOSE- The purpose of this section is to make assistance available to promote mentoring programs for children with greatest need —

- (A) to assist such children in receiving support and guidance from a mentor;
- (B) to improve the academic achievement of such children;
- (C) to improve interpersonal relationships between such children and their peers, teachers, other adults, and family members;
- (D) to reduce the dropout rate of such children; and
- (E) to reduce juvenile delinquency and involvement in gangs by such children.

(2) DEFINITIONS- In this part:

(A) CHILD WITH GREATEST NEED- The term child with greatest need' means a child who is at risk of educational failure, dropping out of school, or involvement in criminal or delinquent activities, or who lacks strong positive role models.

(B) ELIGIBLE ENTITY- The term eligible entity' means —

- (i) a local educational agency;
- (ii) a nonprofit, community-based organization; or
- (iii) a partnership between a local educational agency and a nonprofit, community-based organization.

(C) MENTOR- The term mentor' means a responsible adult, a postsecondary school student, or a secondary school student who works with a child —

- (i) to provide a positive role model for the child;
- (ii) to establish a supportive relationship with the child; and
- (iii) to provide the child with academic assistance and exposure to new experiences and examples of opportunity that enhance the ability of the child to become a responsible adult.

(D) STATE- The term State' means each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

(b) GRANT PROGRAM-

(1) IN GENERAL- The Secretary may award grants from funds made available to carry out this subpart under section 4003(2) to eligible entities to assist such entities in establishing and supporting mentoring programs and activities for children with greatest need that —

(A) are designed to link such children (particularly children living in rural areas, high-crime areas, or troubled home environments, or children experiencing educational failure) with mentors who —

- (i) have received training and support in mentoring;
- (ii) have been screened using appropriate reference checks, child and domestic abuse record checks, and criminal background checks; and
- (iii) are interested in working with children with greatest need; and

(B) are intended to achieve one or more of the following goals with respect to children with greatest need:

- (i) Provide general guidance.

- (ii) Promote personal and social responsibility.
- (iii) Increase participation in, and enhance the ability to benefit from, elementary and secondary education.
- (iv) Discourage illegal use of drugs and alcohol, violence, use of dangerous weapons, promiscuous behavior, and other criminal, harmful, or potentially harmful activity.
- (v) Encourage participation in community service and community activities.
- (vi) Encourage setting goals and planning for the future, including encouragement of graduation from secondary school and planning for postsecondary education or training.
- (vii) Discourage involvement in gangs.

(2) USE OF FUNDS-

(A) IN GENERAL- Each eligible entity awarded a grant under this subsection shall use the grant funds for activities that establish or implement a mentoring program, that may include —

- (i) hiring of mentoring coordinators and support staff;
- (ii) providing for the professional development of mentoring coordinators and support staff;
- (iii) recruitment, screening, and training of mentors;
- (iv) reimbursement to schools, if appropriate, for the use of school materials or supplies in carrying out the mentoring program;
- (v) dissemination of outreach materials;
- (vi) evaluation of the mentoring program using scientifically based methods; and
- (vii) such other activities as the Secretary may reasonably prescribe by rule.

(B) PROHIBITED USES- Notwithstanding subparagraph (A), an eligible entity awarded a grant under this section may not use the grant funds —

- (i) to directly compensate mentors;
- (ii) to obtain educational or other materials or equipment that would otherwise be used in the ordinary course of the eligible entity's operations;
- (iii) to support litigation of any kind; or
- (iv) for any other purpose reasonably prohibited by the Secretary by rule.

(3) AVAILABILITY OF FUNDS- Funds made available through a grant under this section shall be available for obligation for a period not to exceed 3 years.

(4) APPLICATION- Each eligible entity seeking a grant under this section shall submit to the Secretary an application that includes —

- (A) a description of the plan for the mentoring program the eligible entity proposes to carry out with such grant;
- (B) information on the children expected to be served by the mentoring program for which such grant is sought;
- (C) a description of the mechanism the eligible entity will use to match children with mentors based on the needs of the children;
- (D) an assurance that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor's ability to be an effective mentor or the mentor's ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
- (E) an assurance that the mentoring program will provide children with a variety of experiences and support, including —
 - (i) emotional support;

- (ii) academic assistance; and
- (iii) exposure to experiences that the children might not otherwise encounter on their own;
- (F) an assurance that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child;
- (G) information regarding how mentors and children will be recruited to the mentoring program;
- (H) information regarding how prospective mentors will be screened;
- (I) information on the training that will be provided to mentors; and
- (J) information on the system that the eligible entity will use to manage and monitor information relating to the mentoring program's —
 - (i) reference checks;
 - (ii) child and domestic abuse record checks;
 - (iii) criminal background checks; and
 - (iv) procedure for matching children with mentors.

(5) SELECTION-

(A) COMPETITIVE BASIS- In accordance with this subsection, the Secretary shall award grants to eligible entities on a competitive basis.

(B) PRIORITY- In awarding grants under subparagraph (A), the Secretary shall give priority to each eligible entity that —

- (i) serves children with greatest need living in rural areas, high-crime areas, or troubled home environments, or who attend schools with violence problems;
- (ii) provides high quality background screening of mentors, training of mentors, and technical assistance in carrying out mentoring programs; or
- (iii) proposes a school-based mentoring program.

(C) OTHER CONSIDERATIONS- In awarding grants under subparagraph (A), the Secretary shall also consider —

- (i) the degree to which the location of the mentoring program proposed by each eligible entity contributes to a fair distribution of mentoring programs with respect to urban and rural locations;
- (ii) the quality of the mentoring program proposed by each eligible entity, including —

- (I) the resources, if any, the eligible entity will dedicate to providing children with opportunities for job training or postsecondary education;
- (II) the degree to which parents, teachers, community-based organizations, and the local community have participated, or will participate, in the design and implementation of the proposed mentoring program;
- (III) the degree to which the eligible entity can ensure that mentors will develop longstanding relationships with the children they mentor;
- (IV) the degree to which the mentoring program will serve children with greatest need in the 4th through 8th grades; and
- (V) the degree to which the mentoring program will continue to serve children from the 9th grade through graduation from secondary school, as needed; and

- (iii) the capability of each eligible entity to effectively implement its mentoring program.

(D) GRANT TO EACH STATE- Notwithstanding any other provision of this subsection, in awarding grants under subparagraph (A), the Secretary shall select not less than one grant recipient from each State for which there is an eligible entity that submits an application of sufficient quality pursuant to paragraph (4).

(6) MODEL SCREENING GUIDELINES-

(A) IN GENERAL- Based on model screening guidelines developed by the Office of Juvenile Programs of the Department of Justice, the Secretary shall develop and distribute to each eligible entity awarded a grant under this section specific model guidelines for the screening of mentors who seek to participate in mentoring programs assisted under this section.

(B) BACKGROUND CHECKS- The guidelines developed under this subsection shall include, at a minimum, a requirement that potential mentors be subject to reference checks, child and domestic abuse record checks, and criminal background checks.

Appendix A

The following information is excerpted from *Guidelines for the Screening of Persons Working With Children, the Elderly, and Individuals With Disabilities in Need of Support (Guidelines for Screening)*, developed by the Office of Juvenile Justice and Delinquency Prevention (OJJDP), U.S. Department of Justice. This publication offers practical steps that schools, communities, and other service organizations can take to assess their screening needs and to determine whom to screen and how.

Please note that this information is included only to provide suggestions to applicants. The full document can be downloaded at the following address on the Internet: <http://www.ncjrs.org/pdffiles/167248.pdf> (you will need Adobe Acrobat Reader to download this file).

Screening Practices

Typically, when background "screening" is discussed, the focus is on the use of information from criminal history records (e.g., FBI fingerprint checks). It is important to recognize, however, that many other practices can weed out potentially abusive workers and volunteers. These range from standard interviewing and reference checking to more complex and controversial procedures such as screening against child abuse, reviewing dependent adult abuse and sex offender registries, psychological testing, drug testing, and home visits. (Not all of these practices can be undertaken in all States, however. The discussion of the legal framework below provides additional information on these practices.)

Consideration of the following screening methods is incorporated into the guidelines, particularly in discussion of the decision-making model: (1) practices that can be considered basic screening, (2) more extensive background checks that are frequently used (e.g., criminal history checks), and (3) special methods that are used infrequently or for special types of workers only. Information about the practices currently being used is primarily limited to those used by organizations and agencies serving children and youth. A study funded by the Office of Juvenile Justice and Delinquency Prevention (OJJDP), *Effective Screening of Child Care and Youth Service Workers*,¹ surveyed approximately 3,800 child- and youth-serving organizations and agencies nationwide on the screening mechanisms they used (the study explored cost, timeliness of information, quality, and perceived effectiveness). The study's findings indicated some differences in the practices used to screen employees and those used to screen volunteers:

- **For potential employees:**
 - Almost all conducted what can be called basic screening of potential employees: personal interviews (98 percent); reference checks with past employers (93 percent); personal reference checks (86 percent);

confirmation of educational status (80 percent); and observation of the applicant in the job position (70 percent).

- Overall, 60 percent conducted at least one type of criminal record check on employee applicants; State and local checks were used more often than FBI checks. This figure reflects a range -- almost all juvenile detention/corrections facilities (94 percent) conducted criminal record checks on employees, compared with only 43 percent of private schools and 50 percent of youth development organizations.
- Fewer than 10 percent used psychological testing, home visits, mental illness/psychiatric history checks, alcohol or drug testing, or State sex offender registry checks on employees. (However, 86 percent of foster care agencies reported conducting home visits of prospective foster care and adoptive homes.)
- **For potential volunteers:**
 - To screen volunteers, 76 percent of the respondents used personal interviews and 54 percent used personal reference checks.
 - More than one-third (35 percent) conducted at least one type of criminal record check on volunteer applicants; State and local checks were used more often than FBI checks. Again, this figure reflects a range. Most juvenile detention/corrections facilities (83 percent) conducted criminal record checks on volunteers, compared with only 12 percent of private schools, 23 percent of public school districts, and 28 percent of hospitals.
 - No more than 6 percent used psychological testing, home visits, mental illness/psychiatric history checks, alcohol or drug testing, or State sex offender registry checks to screen volunteers.

Some Types of Background Screening Mechanisms

Basic Screening Practices

- Employment reference checks.
- Personal reference checks.
- Personal interviews.
- Confirmation of education.
- Written application.
- On-the-job observation.

Frequently Used Practices

- Local criminal record check.
- State criminal record check.
- FBI criminal record check.

- State central child/dependent adult abuse registry check.
- State sex offender registry check.
- Nurse's aide registry record check.
- Motor vehicle record check.
- Professional disciplinary board background check.

Infrequently Used Practices

- Alcohol/drug testing.
- Psychological testing.
- Mental illness/psychiatric history check.
- Home visits.

Guidelines for Organizations Developing Screening Policies

Levels of Screening

Organizations providing care or services to children, the elderly, and individuals with disabilities should adopt a screening policy. The three-part decision-making model discussed later in this report is a useful guide for organizations in developing such a policy.

Issues appropriate for a screening policy include:

- Statements on minimum required screening standards.
- Guidelines on when more extensive screening practices should be used.
- Provisional hiring policies.
- Guidelines on how to assess background screening information once it is received.
- Maintenance and dissemination of background screening records.
- Standards for working with vulnerable populations.

Applicants should be advised of the organization's screening policy. Reviewing this policy annually -- and as new information on available mechanisms arises -- is also appropriate. All applicants who are seeking a position to work or volunteer with children, the elderly, or individuals with disabilities should be screened at a basic level. Basic screening includes:

- A comprehensive application form with a signed statement.
- A thorough personal interview that examines an applicant's past employment or volunteer experience and explores other indicators of potential problem behavior.
- Reference checks with past employers (or appropriate reference checks for volunteers and young adults) and personal contacts.

Each applicant's references should be checked completely. In addition, a confirmation of education status may be appropriate.

Additional screening practices may also be warranted. Thorough consideration of all relevant factors will assist an organization in determining whether additional screening is warranted for some or all of its workers. The decision-making model can guide

organizations in making this determination. Organizations using additional screening mechanisms (e.g., personality or psychological testing, criminal records checks) are advised to do so in conjunction with basic screening practices and with a full understanding of the limitations of each of the screening practices used.

Results of Screening

Once screening information is received, it is important to have strategies for dealing with the information, especially when the screening process has yielded questions about the applicant. An organization's strategies for dealing with screening results should be set forth clearly in written policies.

To the extent possible, the hiring or placement of an applicant should be delayed until the screening process is completed. If this is not possible, the applicant, pending completion of the screening process, should be restricted to supervised situations or situations in which one other worker is present. The applicant should never be alone with vulnerable individuals. In addition, the organization is advised to retain the right to terminate the worker or volunteer if the screening yields adverse information or reveals that incorrect information was provided by the applicant. As a minimum standard, automatic disqualification of a potential worker or volunteer is appropriate when the screening results indicate that the individual, as an adult, perpetrated any crime involving a child or a dependent adult, regardless of how long ago the incident occurred, or any violent crime within the past 10 years.

It is recommended that disqualification for all other crimes and/or questionable behavior be discretionary, with incidents evaluated on the basis of consultation with appropriate professionals and the following factors:

- The relationship between the incident and the type of employment or service that the applicant will provide.
- The applicant's employment or volunteer history before and after the incident.
- The applicant's efforts and success at rehabilitation.
- The likelihood that the incident would prevent the applicant from performing his or her responsibilities in a manner consistent with the safety and welfare of the consumers served by the agency.
- The circumstances and/or factors indicating the incident is likely to be repeated.
- The nature, severity, number, and consequences of the incidents disclosed.
- The circumstances surrounding each incident, including contributing societal or environmental conditions.
- The age of the individual at the time of the incident.
- The amount of time elapsed since the incident occurred.

Decision-making Model

The number of persons who may have contact with children and vulnerable adults is extensive. Countless different professions and types of organizations serve these populations. Given the need to protect children and vulnerable adults from abuse in a variety of settings and the significant differences in organizational purpose, staffing needs,

and available resources, these guidelines present a decision-making model rather than a list of screening practices to be used in every circumstance. The model poses questions to ask when deciding which background screening practices to utilize. The model assumes that screening for any position will include at least a written application with a signed statement, professional and personal reference checks, and an interview. Supplemental screening measures may also be warranted.

The decision-making model provides a framework for analyzing when to conduct supplemental screening practices. As a framework to assist States, organizations, and others in developing screening policies, the model reflects the desire of Congress to encourage screening practices while maintaining deference to the States on this issue. The decision-making model is designed to facilitate a serious, careful examination focusing on opportunities for harm. This model is not the only set of steps that could be developed. States, coalitions, associations, and organizations are encouraged to develop screening practices for use in particular settings. Screening for specific settings and types of workers (employees or volunteers) could also incorporate evaluations of competence for particular tasks; however, this model does not directly address competence goals. Further, screening must be placed in context. It is one tool aimed at preventing harm. Others include education (of staff and volunteers, parents and guardians, children and vulnerable adults) and abuse prevention policies (discouraging opportunities for abuse and encouraging children and vulnerable adults to voice concerns about inappropriate behavior).

Preparation Steps Before Using the Model

Review tasks and positions

Reviewing the types of positions in the organization and the general tasks and characteristics of each is useful before beginning to assess the screening required for a particular type of position. Screening to prevent harm should supplement selection procedures aimed at evaluating the qualifications of an applicant for a particular task or job. This decision-making model focuses on the former.

Review harms

Before beginning to use the model, it is also useful to ask: What are the harms that are being screened against? Physical, sexual, and emotional abuse? Theft and other property offenses? Arson, assault, or murder? A clear understanding of the specific potential for harm associated with particular positions will help to focus the discussion of screening issues. For example, concerns about theft may be especially important for certain programs serving the elderly.

The Model

Step 1: Assessment of triggers

The screening decision-making model includes three major steps. The first step requires an assessment of the presence and degree of screening "triggers." These triggers can be

divided into three categories -- those involving the setting, those pertaining to the worker's contact with the adult or child, and special considerations.

Setting considerations:

- Will others (adults or children) be present during the contact (the opportunity for abuse is increased if no one else is present)?
- Who are those other people (the opportunity for abuse may still be exceptionally high if young children or certain vulnerable adults are the only others present)?
- Will the worker be closely monitored and supervised?
- What is the precise nature of the worker's involvement with the organization and with the client population (whether the worker is an employee or volunteer may be part of this assessment)?
- What is the physical location of the contact (e.g., in a classroom, a camp, anywhere -- care should be taken in considering all activities and their different physical locations, including transportation to and from events)?

Contact considerations:

- The duration of the contact (how much time is spent with the client per occasion).
- The frequency of the contact and the length of the relationship (e.g., one-time only, once a week for a year).
- The type of contact (e.g., does the worker have direct contact with children or vulnerable adults or does he or she have administrative or other duties that support the activities of the organization? With the latter, is there in fact one-on-one contact?).

Special considerations:

Are there special circumstances that should be factored into the screening decision? At this point, an examination of the vulnerability of the individuals served is important. Those whose ability to communicate is impaired because of age, infirmity, life history, or other reasons may be exceptionally vulnerable to abuse. For example, children with certain learning disabilities or those with a history of abuse or neglect may fall into this category. There may also be State laws or regulations that require certain screening practices to be used, triggering the use of a certain screening method. For example, States may require that State or Federal criminal record checks be done. If a State license or certification is required, statutory or regulatory requirements may also be in place.

Step 2: Evaluation of Intervenorors to Decision-making

With the triggers in mind, consideration moves to the second step of evaluating "intervenorors," or items that may limit or affect the screening decision:

- **Unavailable or inaccessible information.** Certain screening mechanisms may not be available. For example, a number of States simply do not authorize criminal record checks for a number of types of persons serving children, the elderly, or individuals with disabilities.

- **Unexpected absences or departures.** An immediate need for staff may also "intervene" in the screening decision-making process.³
- **Liability concerns.** The risk of liability may affect screening decisions. Federal, State, or local laws may give applicants and employees certain legal rights. For example, certain questions may not be asked during an interview/application process, and generally all inquiries must be relevant to the task or position at hand. Liability concerns could also stem from negligent hiring torts; organizations have been sued when a client was injured by an employee or volunteer they selected.
- **Presence of other risk-reduction measures.** A consideration of other risk-reduction measures in place is helpful in evaluating the need for specific screening practices. However, risk-reduction measures as intervenors do not necessarily obviate the need for supplemental screening. Rather, their presence is a pragmatic consideration in evaluating the screening practices used. Risk-reduction measures may include training programs or levels of supervision.
- **Financial or human resources.** The practical impact that financial and human resources may have on screening is also a factor to be considered.

Step 3: Analysis and Selection of Screening Practices

The third step puts information gleaned from steps 1 and 2 together with various screening options. The model assumes that, based on this information, supplemental screening practices may be warranted. The advantages and disadvantages of each screening practice should be reviewed at this time.

As the extent and number of triggers increase, supplemental screening measures are appropriate. For example, circumstances in which repeated one-on-one contact occurs between one worker and one child or dependent adult, often in very private surroundings, will merit supplemental screening practices. Supplemental screening practices might include the following:

- Confirmation of a person's educational status (this may be particularly appropriate for young workers for whom a professional reference may not be available or for situations in which the educational degree is relevant to the task to be performed by the applicant).
- Motor vehicle record check.
- Local, State, or FBI criminal record check.
- Check of the central child or dependent adult abuse registries.
- Sex offender registry check.
- Home visits.

- Psychological testing.
- Alcohol or drug testing.
- Psychiatric history check.

Some Suggestions for Implementing Screening in the Organization

Although it may seem simple to endorse the concept of performing careful worker screening prior to hiring the worker, in practice there are many details to consider. This section sets forth a series of steps for an organization to consider in implementing screening practices. This does not establish a standard of practice, nor is it the only set of steps for screening that can be developed. Rather, these suggestions are intended to further the dialog on screening in a concrete and practical way. Thus, organizations are encouraged to consider these (and other) ideas in developing screening practices and comprehensive abuse prevention measures. In addition, States, coalitions, and associations whose members serve the many discrete types of persons working (or volunteering) with vulnerable populations are encouraged to develop screening practices or policies aimed at those particular settings.

- Designate a person(s) within the organization who is responsible for receiving, reviewing, and acting on background screening information. Typically, an individual in the human resources or personnel department has responsibility for receipt and review of background screening information. This person should thoroughly understand all staff positions and roles so as to adequately assess the relevance of background information obtained. This person would also be responsible for developing and adhering to a screening/hiring policy based on the three-step decision-making model discussed in the body of this report. Making one person responsible for overseeing the process ensures that a consistent approach is taken, the screening policy is used appropriately, and the confidentiality of employee/volunteer records is maintained. In smaller settings, the director or assistant director should assume the centralized role of "keeper" of confidential worker information.
- Develop a comprehensive written application form that informs applicants of the organization's screening policies and facilitates the ensuing background screening process. Matters to consider in the initial application process include:
 - An explanation of the hiring/selection process, including a written release giving consent to verify the information provided on the application (signed by the applicant) and to search criminal history and registry records (and conduct other checks), if appropriate.
 - An application form that includes a signed statement verifying the applicant's understanding that falsifying information is grounds for dismissal and/or other action.
- Conduct personal interviews that probe for more in-depth information that may not be available through other screening mechanisms. Interview questions should be tailored to the needs of the setting and the role of the worker or volunteer.

A standardized interview process would promote consistency among applicant interviews and help eliminate subjectivity associated with using multiple interviewers. Training on effective interview techniques, especially when delving into sensitive topic areas, would be of assistance. If possible, use of a team approach would increase objectivity, obtain different perspectives, and promote adequate documentation. Follow-up interviews may be needed as information surfaces through other background screening practices.

- Conduct reference checks (and, if appropriate, educational status checks).
 - When asking applicants for references, a verbal or written statement that references will be checked may deter unsuitable applicants and reduce fabrication.
 - Centralizing the reference-checking process and providing training would permit responsible staff to become persistent and deft in their inquiries. Fear of defamation or other lawsuits may limit the amount or detail of information a reference is initially willing to supply. Obtaining an applicant's written consent allowing for the release of information by previous employers may make for more effective reference checks. Some agencies ask references whether they know of any reason why the person should not be hired to work with the particular consumer population.
- Draft organizational policies on the appropriate use of criminal history information or other registry information to the extent this information is available, and develop specific criteria for using this information for screening purposes.

1. ABA Center on Children and the Law, Washington, DC, 1995 (study funded by the Office of Juvenile Justice and Delinquency Prevention, U.S. Department of Justice, 92-MC-CX-0013).

2. Although this decision-making model was drafted for States, organizations, and others, some language may pertain to organizations only.

3. To reduce the utilization of unscreened individuals in emergency situations, childcare centers and others that frequently have unexpected personnel departures may form relationships with umbrella organizations or private groups to maintain a roster of screened individuals who can provide personnel support. A screened staff person may also be designated as a "floater" to fill in as needed.

Frequently Asked Questions

1. Who is eligible to apply for funding under this grant competition?

Eligible applicants under this grant competition are: (1) local educational agencies (LEAs); (2) nonprofit, community-based organizations (CBOs), which may include faith-based organizations; and (3) a partnership between an LEA and a CBO.

2. Is the funding amount per year or does it cover all three years?

Under this program we estimate that the funding amount will range from \$100,000 to \$200,000 per project year. Projects will be funded for up to 36 months, contingent upon the demonstration of substantial progress each year toward meeting project goals and objectives, and the availability of future funds.

3. May an applicant request a funding amount under or above the funding range?

The funding range for this program is estimated to be \$100,000 to \$200,000. However, applicants are allowed to ask for amounts that are either lesser or greater than this range, provided there is sufficient justification (please note that requesting a lesser amount does not guarantee an award).

4. Is there an in-kind match requirement for this program?

No. There is no in-kind match for this program.

5. Who is the target audience for this grant?

To be eligible for funding, a project must propose school-based mentoring programs and activities to serve children with the greatest need in the 4th through 8th grades living in rural areas, high-crime areas, or troubled home environments, or children experiencing educational failure.

6. Is there an ideal mentor/student ratio?

The ideal mentor/student relationship is a one-to-one relationship, where practicable. However it is not a requirement for funding under this program.

7. May mentors be paid using grant funds?

No. Grant funds may not be used to directly compensate mentors under any circumstances.

8. If I am a community-based organization, do I have to conduct my program at the school site?

No. While program activities must be coordinated in close collaboration with a school, applicants are allowed flexibility in determining the most appropriate location.

9. The application states that grantees must provide an assurance that the program will expose children to experiences that they might not otherwise encounter on their own. As

such, may grantees pay for entertainment such as camping trips, ballgames, and other recreational activities?

All activities must be educational and/or cultural in nature, not solely for entertainment or diversionary purposes. Activities such as attending sporting events, picnics, and camping trips are not allowed.

10. May I purchase games and recreation equipment for students using grant funds?

No. Grant funds may not be used to purchase games, game equipment or game software. All activities must be educational and/or cultural in nature, not solely for entertainment or diversionary purposes.

11. May I use grant funds to pay for mentor/student outings and to purchase incentives for student?

Grant funds may not be used for mentor/student expenses, or for the purchase of incentives or awards.

12. May grant funds be used to pay for an end of year awards/recognition ceremony?

Grant funds cannot be used for events, activities, ceremonies, awards, teas, banquets, or other entertainment events.

13. Am I allowed to use grant funds to cover transportation costs?

Grant funds may be used to cover transportation costs for educational and cultural activities. Mentors may not be reimbursed for travel expenses.

14. May grant funds be used for the lease or purchase of a vehicle?

No. Grant funds may not be used to purchase or lease vehicles.

15. May I use funds from this grant to provide nutritious snacks for students?

No, funds may not be used for the purchase of food or beverages, to cover expenses for parties or picnics, or any other item not directly related to mentoring students.

16. What kind of supplies may I purchase with these funds?

Under this program you may purchase materials or supplies required by mentoring coordinators and support staff in carrying out the mentoring program.

17. May I submit an application on behalf of my local school or does it have to be submitted by the district?

Eligible applicants are local educational agencies and nonprofit, community-based organizations. Applications submitted by individual schools will not be read.

18. How do you submit a signed face sheet (and other required forms) as part of the electronic application submission?

If you are submitting an electronic application, you are required to fax the signed face page and the required assurances to the Department of Education in accordance with the instructions listed elsewhere in this application package.

19. May I pay to train mentors and staff?

Yes. Under this program you may use grant funds to pay for the professional development of mentoring coordinators and support staff and to pay for the training of mentors.

20. May the costs of background checks for mentors be paid from the grant?

Yes. Grant funds may be used for the costs associated with background checks.

21. My organization runs an after-school program at the local Boys & Girls Club. May funds be used to carry out mentoring activities at the club?

Applicants are allowed flexibility in determining the most appropriate location for project activities.

22. My district has one K-12 school. May we apply for a grant?

You are eligible to apply if you meet the eligibility requirements of this program and propose mentoring programs and activities to serve children with the greatest need in the 4th through 8th grades living in rural areas, high-crime areas, or troubled home environments, or children experiencing educational failure.

23. We plan to serve students in grades 6, 7, and 8. May we continue to serve these same students in years two and three even though some will no longer be in middle school?

Yes. To the extent practicable, applicants must propose programs that follow the same students for the entire life of the program. New participants may be selected to replace students who are not able to continue in the program, or for other reasons related to attrition.

24. Since this is a school-based program, does that mean we cannot have mentoring activities when school is not in session?

No. Mentoring projects funded by this program are intended to be year-round to the extent practicable, including weekends and during the summer months.

**Application for Federal
Education Assistance (ED 424)**



U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | |

6. Novice Applicant ☐ Yes ☐ No

3. Applicant's T-I-N | | | | - | | | | | | | | | |

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | |

8. Type of Applicant (Enter appropriate letter in the box.) | | | |

- | | |
|----------------------|---|
| A - State | F - Independent School District |
| B - Local | G - Public College or University |
| C - Special District | H - Private, Non-profit College or University |
| D - Indian Tribe | I - Non-profit Organization |
| E - Individual | J - Private, Profit-Making Organization |

K - Other (Specify):

Title: _____

5. Project Director: _____

Address: _____

City State Zip code + 4

Tel. #: () - Fax #: () -

E-Mail Address: _____

Application Information

9. Type of Submission:

- | | |
|---|---|
| -PreApplication | -Application |
| <input type="checkbox"/> Construction | <input type="checkbox"/> Construction |
| <input type="checkbox"/> Non-Construction | <input type="checkbox"/> Non-Construction |

10. Is application subject to review by Executive Order 12372 process?

- ☐ Yes (Date made available to the Executive Order 12372 process for review): ____/____/____
- ☐ No (If "No," check appropriate box below.)
- ☐ Program is not covered by E.O. 12372.
- ☐ Program has not been selected by State for review.

11. Proposed Project Dates: ____/____/____

Start Date:

End Date:

12. Are any research activities involving human subjects planned at any time during the proposed project period?

☐ Yes (Go to 12a.) ☐ No (Go to item 13.)

12a. Are all the research activities proposed designated to be exempt from the regulations?

☐ Yes (Provide Exemption(s) #): _____

☐ No (Provide Assurance #): _____

13. Descriptive Title of Applicant's Project:

Estimated Funding

14a. Federal	\$	_____	.00
b. Applicant	\$	_____	.00
c. State	\$	_____	.00
d. Local	\$	_____	.00
e. Other	\$	_____	.00
f. Program Income	\$	_____	.00
g. TOTAL	\$	_____	.00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: _____

c. Tel. #: () - Fax #: () -

d. E-Mail Address: _____

e. Signature of Authorized Representative

Date: ____/____/____

Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, leave blank.

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **Type of Submission.** See "Definitions for Form ED 424" attached.
10. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
11. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
12. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

- 12a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption

categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

- 12a. **If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

- 12a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

13. **Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
14. **Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.
15. **Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

II. **Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>



U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1890-0004

Expiration Date: OMB Approved

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	OMB Control Number: 1890-0004 Expiration Date: OMB Approved
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**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

OMB Control Number: 1890-0004
Expiration Date: OMB Approved

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

Mentoring Program – Program Specific Assurances for Local Educational Agencies

In addition to the standard assurances included with this application package, all applicants that are local educational agencies must review and sign the following assurances:

As the duly authorized representative of the applicant, I hereby certify that:

1. Assure that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor's ability to be an effective mentor or the mentor's ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
2. Assure that the mentoring program will provide children with a variety of experiences and support, including:
 - (i) Emotional support;
 - (ii) Academic assistance; and
 - (iii) Exposure to experiences that the children might not otherwise encounter on their own;
3. Assure that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child;
4. Assure that it will: (1) establish clear, measurable performance goals; and (2) collect and report to the Department data related to the established Government Performance and Results Act (GPRA) performance indicators for the Mentoring Programs grant competition. We will reject any application that does not contain this assurance.

Signature of Authorized Certifying Official

Title

Organization Name

Date

Mentoring Program – Program Specific Assurances for Community-Based Organizations

In addition to the standard assurances included with this application package, all applicants that are community-based organizations must review and sign the following assurances:

As the duly authorized representative of the applicant, I hereby:

1. Assure that:
 - a. It is an eligible applicant under the definitions provided in the *Federal Register* notice and in this application package;
 - b. Timely and meaningful consultation with a LEA or private school has taken place during the design and/or development of the proposed program;
 - c. LEA or private school staff will participate in the identification and referral of students to the CBO's proposed program;
 - d. The LEA or private school will participate in the collection of data related to the established GPRA performance indicators for the Mentoring Programs grant competition.
2. Assure that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor's ability to be an effective mentor or the mentor's ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
3. Assure that the mentoring program will provide children with a variety of experiences and support, including:
 - (i) Emotional support;
 - (ii) Academic assistance; and
 - (iii) Exposure to experiences that the children might not otherwise encounter on their own;
4. Assure that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child;
5. Assure that it will: (1) establish clear, measurable performance goals; and (2) collect and report to the Department data related to the established Government Performance and Results Act (GPRA) performance indicators for the Mentoring Programs grant competition. We will reject any application that does not contain this assurance.

Signature of Authorized Certifying Official

Title

Organization Name

Date

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV. 12/88), which is obsolete)

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, ☐ Audits of States, Local Governments, and Non-Profit Organizations. ☐
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE	
APPLICANT ORGANIZATION			DATE SUBMITTED

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: _____ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: _____ a. bid/offer/application b. initial award c. post-award	3. Report Type: _____ a. initial filing b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if Known: <div style="text-align: center;">Congressional District, if known:</div>		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: <div style="text-align: center;">Congressional District, if known:</div>
6. Federal Department/Agency: 	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known: 	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Federal Use Only </div> <div style="width: 50%;"> Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____ </div> </div>		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%; background-color: #f0f0f0;"> Federal Use Only </div> <div style="width: 50%;"> Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97) </div> </div>		

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503



Survey on Ensuring Equal Opportunity FOR APPLICANTS

Do not enter information below unless instructed to do so.

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "**Do not enter information below unless instructed to do so.**" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐ Yes

☐ No

2. How many full-time equivalent employees does the applicant have? (*Check only one box*).

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-14

☐ over 100

3. What is the size of the applicant's annual budget? (*Check only one box.*)

☐ Less Than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes

☐ No

5. Is the applicant a non-religious community-based organization?

☐ Yes

☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes

☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes

☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes

☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.